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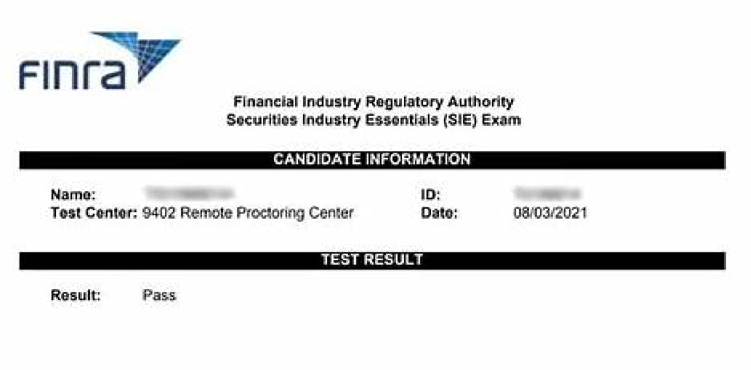

FINRA

Financial Industry Regulatory Authority
Securities Industry Essentials (SIE) Exam

CANDIDATE INFORMATION

Name:
ID:
Test Center: 9402 Remote Proctoring Center
Date: 08/03/2021

TEST RESULT

Result: Pass

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## FINRA SIE Exam Syllabus Topics:

| Topic | Details |
|---|---|
| Topic 1 | • Understanding Trading, Customer Accounts, and Prohibited Activities: This section of the exam measures the skills of Securities Traders and focuses on different trading strategies, settlement processes, and corporate actions. Candidates must demonstrate knowledge of order types, including market, limit, stop, and good-til-canceled orders, as well as bid-ask spreads and discretionary versus non-discretionary trading. |
| Topic 2 | • Market Structure: This section of the exam measures the skills of Equity Market Specialists and covers the classification of financial markets, including the primary, secondary, third, and fourth markets. Candidates must demonstrate knowledge of electronic trading, over-the-counter (OTC) markets, and physical exchanges. One specific skill tested is differentiating between various market types and their operational mechanisms. |
| Topic 3 | • Overview of the Regulatory Framework: This section of the exam measures the skills of Compliance Officers and evaluates knowledge of self-regulatory organization (SRO) requirements, including registration and continuing education for associated persons. Candidates must understand the distinction between registered and non-registered individuals and the requirements for maintaining industry qualifications. |
| Topic 4 | • Regulatory Entities, Agencies, and Market Participants: This section of the exam measures the skills of Financial Regulatory Analysts and covers the structure, authority, and jurisdiction of key regulatory bodies overseeing financial markets. The SEC's role in enforcing securities regulations is assessed, along with the authority of self-regulatory organizations such as FINRA and MSRB. Candidates must also understand the functions of other financial regulators, including the Department of the Treasury and state regulatory agencies. One key skill evaluated is identifying the jurisdictional scope of different financial regulators. |

**>> Test FINRA SIE Simulator <<**

## Exam SIE Forum | New SIE Test Vce

The Securities Industry Essentials Exam (SIE) (SIE) is one of the popular exams of FINRA SIE. It is designed for FINRA aspirants who want to earn the Securities Industry Essentials Exam (SIE) (SIE) certification and validate their skills. The SIE test is not an easy exam to crack. It requires dedication and a lot of hard work. You need to prepare well to clear the Securities Industry Essentials Exam (SIE) (SIE) test on the first attempt. One of the best ways to prepare successfully for the SIE examination in a short time is using real SIE Exam Dumps.

## FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q10-Q15):

**NEW QUESTION # 10**
After a customer purchases bonds at a yield of 5.00%, the current yield at market price increases to 5.25%.
Which of the following statements is true regarding the value of the bonds?

- A. The value of the bonds has increased.
- B. There is no change in the value of the bonds.
- C. The value of the bonds has decreased.
- D. The face value of the bonds has decreased.

**Answer: C**

Explanation:
When bond yields rise, the price of existing bonds falls. This inverse relationship exists because the fixed coupon payments of the bonds become less attractive compared to new bonds issued at higher yields.
* B is correctbecause the bond's market value decreases as its yield increases.
* Ais incorrect because bond values decrease, not increase, with rising yields.
* Cis incorrect because the face value (par value) remains unchanged.
* Dis incorrect because changes in yield directly affect the bond's market price.

**NEW QUESTION # 11**
The provision that allows a bond issuer to purchase bonds from customers prior to the maturity date on the bond is known as a:

- A. Conversion
- B. Call
- C. Defeasement
- D. Put

**Answer: B**

Explanation:
Step by Step Explanation:
* Call Provision: This allows the issuer to redeem bonds before their maturity date, usually at a premium to the par value, which benefits the issuer in a declining interest rate environment.
* Put Provision: Allows bondholders, not issuers, to sell the bond back to the issuer.
* Conversion: Relates to convertible bonds that can be converted into equity.
* Defeasement: Refers to the removal of a bond issuer's obligation by setting aside cash or securities to cover the debt.
References:
* SEC Guide on Callable Bonds: SEC Callable Bonds.

**NEW QUESTION # 12**
Offering 403(b) tax-sheltered annuity accounts to which of the following groups is permissible?

- A. Active duty military personnel
- B. Small business owners
- C. Employees of a nonprofit hospital
- D. Volunteer workers

**Answer: C**

Explanation:
Step by Step Explanation:

* 403(b) Accounts: These tax-advantaged retirement plans are specifically for employees of public schools, tax-exempt organizations, and certain other nonprofit employers, such as hospitals.
* Incorrect Options:
* Volunteer Workers: Ineligible unless they are also employees.
* Small Business Owners and Military Personnel: These groups typically qualify for other retirement plans, not 403(b).
References:
* IRS Publication 571 (403(b) Plans): IRS 403(b) Guidance.

**NEW QUESTION # 13**
Which of the following responses best characterizes a money market mutual fund?

- A. Its underlying investments are short term.
- B. Its yield always exceeds a savings account rate.
- C. It pays a fixed rate of return.
- D. Its price is fixed at $1 per share.

**Answer: A**

Explanation:
Money market mutual funds invest in highly liquid, short-term debt instruments, such as Treasury bills, commercial paper, and certificates of deposit. While the funds aim to maintain a stable $1 NAV, this is not guaranteed.
* C is correctbecause the fund's investments are short term.
* Ais incorrect because the rate of return is not fixed; it varies with market interest rates.
* Bis incorrect because while the fund tries to maintain a $1 NAV, it is not guaranteed.
* Dis incorrect because yields do not always exceed those of savings accounts.

**NEW QUESTION # 14**
Company XYZ files a registration statement for its initial public offering (IPO). XYZ is permitted to communicate all of the following information about the offering in writing to investorsexceptthat:

- A. The IPO is expected to price in early February.
- B. A recent industry report supports the company's valuation.
- C. The road show will be held February 6-10 in New York and Boston.
- D. The IPO is being underwritten by Bank ABC and Bank DEF.

**Answer: B**

Explanation:
During the "quiet period" after filing the registration statement, issuers are restricted in what they can communicate to the public to avoid influencing the market.
* C is correctbecause promotional statements, such as those supporting the company's valuation, are prohibited during this time.
* A,B, andDare factual, non-promotional statements and are permitted.

**NEW QUESTION # 15**
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